

THE STUDY PROGRAM COORDINATOR'S HANDBOOK

MAY 2004



THE ARMY STUDY PROGRAM MANAGEMENT OFFICE

FORWARD

This handbook is not meant to replace or supersede any official Army documentation. Often assignment as an organization Study Program Coordinator is an additional duty. The ASPMO has developed this guide in order to make this duty as straightforward as possible. In addition, it is to be considered a living document. Comments and/or suggestions are welcome, and should be addressed to:

The Army Study Program Management Office
700 Army Pentagon
Room 3E393
Washington, DC 20310

Or

E-mail to: Terese.Sweet@us.army.mil

CONTENTS

Page

1	INTRODUCTION.....	1
1.1	Purpose.....	1
1.2	Army Study Management Responsibilities	1
1.3	The Army Study Program Management Office (ASPMO)	2
1.4	Background.....	2
1.5	References.....	3
2	THE ANNUAL ARMY STUDY PROGRAM CYCLE	5
2.1	The Annual Army Study Program Cycle.....	5
3	THE ARMY STUDY PROGRAM OUT-OF-CYCLE REQUIREMENTS	7
3.1	The Annual Army Study Program Out-of-Cycle.....	7
4	ORGANIZATION STUDY PROGRAM COORDINATOR (SPC)	9
4.1	Assignment of a Study Program Coordinator	9
4.2	Duties and Responsibilities.....	9
4.3	Project Unique Identification Code (PUIC).....	11
4.4	HQDA Study Program Coordinators	11
4.5	MACOM Study Program Coordinators	13
5	DEFENSE TECHNICAL INFORMATION CENTER (DTIC®).....	15
5.1	Literature Search Required	15
5.2	DTIC Registration.....	15
5.3	DTIC Resources.....	15
5.4	DTIC Current Awareness Products	16
5.5	DTIC Reporting	16
6	FEDERALLY FUNDED RESEARCH & DEVELOPMENT CENTERS (FFRDCS).....	19
6.1	Federally Funded Analysis Resources	19
6.2	DoD sponsored FFRDCs	19
7	THE PROCUREMENT PACKAGE.....	22
7.1	Definition of Terms.....	22
7.2	Performance Methods	22
7.3	Documentation Requirements.....	23
7.4	Management Decision Document (MDD).....	25
7.5	Statement of Work (SOW).....	25
7.6	Independent Cost Estimate (ICE)	26
7.7	Commerce Business Daily (CBD)	26
7.8	Justification & Approval for Other than Full & Open Competition.....	26
7.9	Economy Act/Offloading Actions	27
7.10	Funding Information Requirements.....	28
7.11	Completed Procurement Packages.....	28
8	POST-CONTRACT ACTIONS.....	29
8.1	After Funding of Project	29
8.2	Submitting Reports to DTIC.....	29
8.3	Army Study Program Repository.....	29

APPENDIX A	MANAGEMENT DECISION DOCUMENT (MDD) FORMAT.....	A-1
APPENDIX B	STATEMENT OF WORK (SOW) SAMPLE FORMAT	B-1
APPENDIX C	INDEPENDENT COST ESTIMATE (ICE) SAMPLE FORMAT	C-1
APPENDIX D	JUSTIFICATION FOR OTHER THAN FULL & OPEN COMPETITION	D-1
APPENDIX E	CONTRACT OFFLOADING GUIDANCE	E-1
APPENDIX F	ELEMENT OF RESOURCE CODES.....	F-1

FIGURES

Figure 1. The Army Study Program – Annual Cycle.	5
Figure 2. The Army Study Program – Out-of-Cycle.	7
Figure 3. Procurement Package Document Requirements	24

1 INTRODUCTION

1.1 Purpose

The purpose of this document is to outline the duties of the organization Study Program Coordinator (SPC), and to provide information required to assist in the performance of these duties.

Within each Army Staff (ARSTAF) agency and Major Command (MACOM), a Study Program Coordinator, and in some cases a Study Coordination Office, is identified to serve as the point of contact to the ASPMO, and to implement Study Program policy at the agency level. Army Staff agencies will be referred to as HQDA.

Although the bulk of this document refers to the HQDA Study Program, it is meant to provide information for Study Program Coordinators throughout the Army.

1.2 Army Study Management Responsibilities

In General (for more detailed information refer to Army Regulation 5-5 [AR 5-5]):

a. ***Deputy Under Secretary of the Army (Operations Research) [DUSA(OR)]*** – The DUSA(OR) establishes policy and provides oversight for all Army Analysis Activities. The DUSA(OR) is the proponent for the Army Study Program, and approves all contract studies with a cost of \$250,000 or more.

b. ***Deputy Chief of Staff for Programs (Army G-8)*** – The Army G-8 is the clearinghouse for all Army studies, and provides centralized coordination and management of all studies, analyses and evaluation support, using in-house, Federally Funded Research and Development Centers (FFRDC), and other contractor resources.

c. ***The G-8 Program Analysis and Evaluation Directorate (PAED)*** – The G-8 PAED is the executive agent for the Arroyo Center Policy Committee (ACPC). The Arroyo Center, a division of the RAND Corporation, is an FFRDC for the Department of the Army for studies and policy analyses. Army Regulation (AR) 5-21 defines Army policy responsibilities for the Arroyo Center.

d. ***Army Study Program Management Office (ASPMO)*** –

1) The ASPMO supports the Army G-8 and the DUSA(OR) in the development and distribution of Army study policy, and in the implementation of study management process and procedures.

2) The ASPMO is responsible for achieving the centralized coordination & management of Army studies, to include managing the ASP Website and database.

e. **The Center for Army Analysis (CAA)** – CAA performs feasibility reviews for all Army studies, analyses and evaluations.

f. **SPONSOR (DCS/ASA/MACOM/Agency Head)** – Organizations sponsoring studies are responsible for exercising good stewardship of resources within the organization, and for designating and supporting a Study Program Coordinator (SPC) for the organization.

g. **Organization Study Program Coordinator (SPC)** – SPCs are the central point of contact for all studies accomplished for or by the organization. See [Chapter 4](#) for a detailed explanation of the SPCs duties, responsibilities, and actions.

1.3 The Army Study Program Management Office (ASPMO)

Mission. The mission of the ASPMO is to provide the Army with an integrated and coordinated program of studies & analyses focused on issues of current high importance to the Army. We to do this by –

- Leveraging information technology to support information exchange.
- Providing stakeholders visibility of study efforts past, present and projected.
- Eliminating redundancy.
- Expanding on/Implementing best business practices.

The goal is to enhance value added to customers and return on investment to the Army.

The ASPMO in the Army Structure. The Army Study Program is a service-wide management structure designed to support Army decision makers with analysis that is relevant, robust, and responsive to the demands and issues confronting the Army in the entire spectrum of its endeavors. The Army Study Program is currently structured with the Army Study Program Management Office (ASPMO) having overall Department of the Army (DA) responsibility for the issuance of guidance on, coordination and management of, Army Studies and Analyses. The ASPMO also serves as the Headquarters DA study coordination office and is responsible for allocation of centrally managed HQDA study resources.

1.4 Background

In January 2002, the Secretary of the Army and Chief of Staff, Army issued a Headquarters, Department of the Army (HQDA) Implementation Plan for Realignment that delegated the responsibility for management of the Army Study Program to The Army G-8, with policy oversight being retained by The Deputy Under Secretary of the Army (Operations Research) (DUSA(OR)). Together, the G-8 and the DUSA(OR) issued a memorandum on February 22, 2002, to the principal officials of HQDA, Subject: Management and Centralized Coordination of the Army Study Program. The enclosure to the memorandum is titled Army Study Program Implementation Guidance, and applies to HQDA only. The purpose of the memo is to provide guidance to achieve centralized coordination, eliminate redundant efforts, and provide quality assurance of Headquarters, Department of the Army study, analysis, and evaluation efforts.

Central management resides with the G-8 and the G-8 Army Study Program Management Office (ASPMO), which replaced the Studies Program Office that had reported to the DUSA(OR).

The documents above can be viewed on the ASPMO Website:

<http://www.paed.army.mil/paed/armystudyprogram/index.asp>.

1.5 References

The regulations that drive the requirements identified in this document are listed below.

- AR 5-5 Army Studies & Analyses (30 June 1996).
- AR 5-14 Management of Contracted Advisory & Assistance Services (15 January 1993).
- DA PAM 5-5 Guidance for Army Sponsors, and Contracting Officers Representatives. Updated and published 1 November 1996.
- DoD Directive 4205.2 Managing, Acquiring and Using Contracted Advisory & Assistance Services
- DCC-W Acquisition Guide. The DCC-W Acquisition Guide can be found on the Internet. It is downloadable for reading in Adobe Acrobat. DCC-W Web Site: <http://dccw.hqda.pentagon.mil/>. The Acquisition Guide can be found under “Services.”

2 THE ANNUAL ARMY STUDY PROGRAM CYCLE

2.1 The Annual Army Study Program Cycle

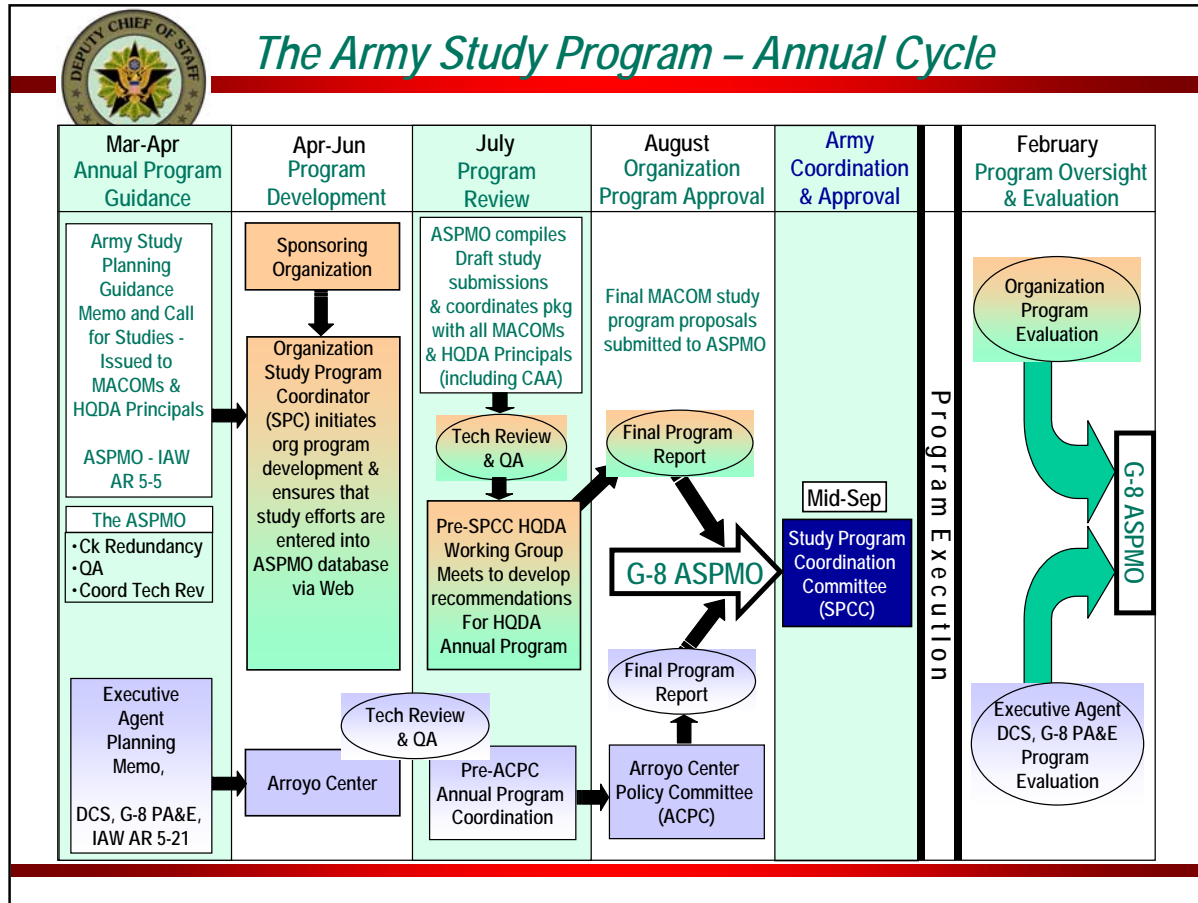


Figure 1. The Army Study Program – Annual Cycle.

Above is the outline of the annual Army Study Program development cycle. The process is described in brief below (for more detailed information refer to Chapter 4):

- **MARCH** – Army Study Planning Guidance memo issued to HQDA Principal Officials & MACOM Commanders.
- **APRIL** – HQDA Call for Study Proposal Submission is issued to HQDA Study Program Coordinators. In addition, the Call For Studies Memo is issued to MACOM Study Program Coordinators.
- **Mid-JULY** – Study Program Coordination Committee (SPCC) HQDA Working Group meets to develop recommendations for HQDA Program. Draft MACOM Study Plans due to the ASPMO for review.

- **AUGUST** – Final MACOM study program plans due to ASPMO.
- **SEPTEMBER** – Review of the Arroyo Center's Program.
- **Mid-SEPTEMBER** – SPCC meets to review and approve the proposed Army Study Program Plan, which includes the HQDA, MACOMs, and Arroyo Center annual study program plans.
- **OCTOBER-SEPTEMBER** – Approved Study Program Executed.
- **FEBRUARY** – Evaluation Call for Prior Year Efforts.

3 THE ARMY STUDY PROGRAM OUT-OF-CYCLE REQUIREMENTS

3.1 The Annual Army Study Program Out-of-Cycle

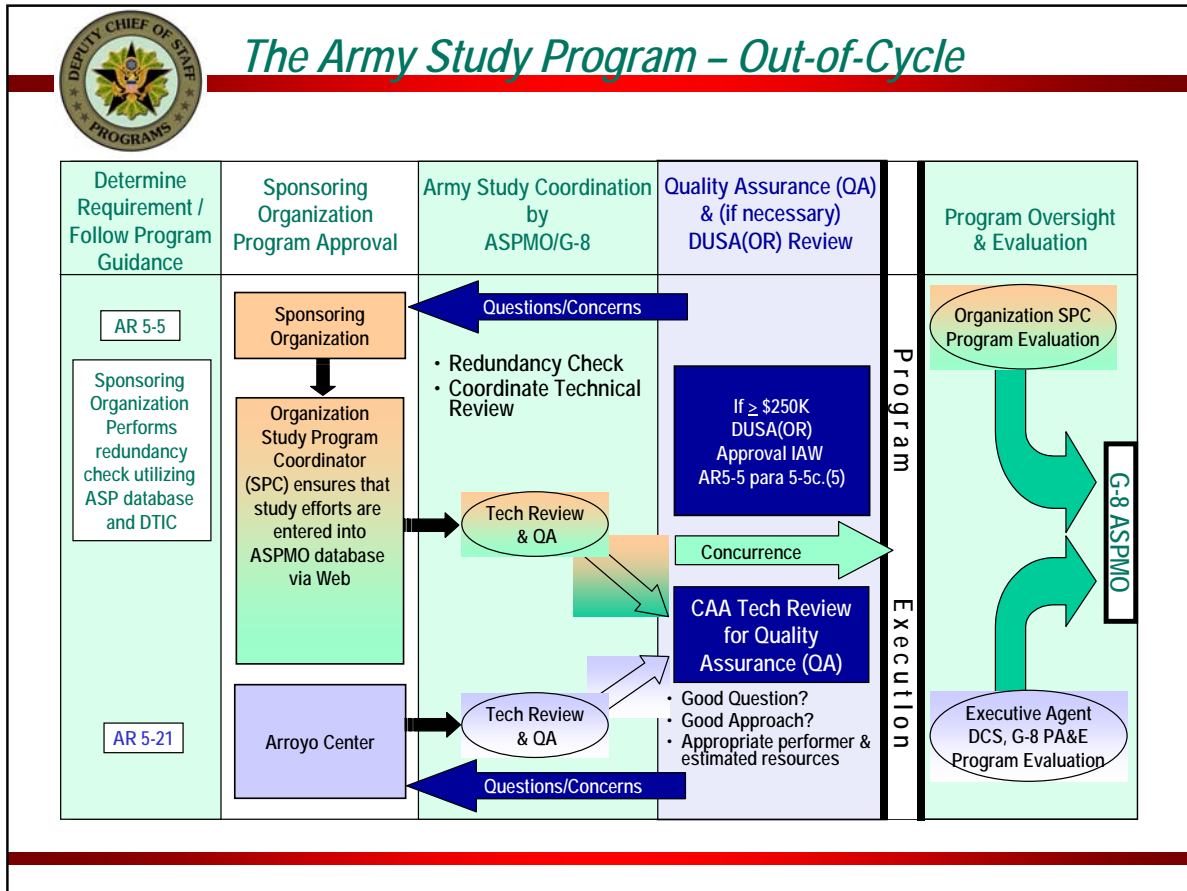


Figure 2. The Army Study Program – Out-of-Cycle.

Above is the outline of the Army Study Process for out-of-cycle study requirement. This process is described in brief below (for more detailed information refer to Chapter 4):

- **Sponsoring Organization –**
 - Determines requirement, requests analysis be performed, and identifies possible sources.
 - Performs redundancy check utilizing the Army Study Program (ASP) database and the Defense Technical Information Center (DTIC).
- **Organizational Program Approval –**
 - Study Program Coordinator enters request into ASP database.
 - Forwards request to the ASPMO.

- **ASPMO, G-8 -**
 - Performs additional redundancy check.
 - Forwards to CAA for technical review and if cost \geq \$250K, forwards to DUSA(OR) for review and approval.
- **Program Oversight & Evaluation –**
 - Sponsoring organization performs program oversight and submits evaluation upon completion.
 - Organization SPC ensures program evaluations are submitted, and that the ASP database information accurately reflects current study status.

4 ORGANIZATION STUDY PROGRAM COORDINATOR (SPC)

4.1 Assignment of a Study Program Coordinator

There should be designated, in each major Staff agency and major command (MACOM), one individual to act as the “Study Program Coordinator” of that agency or command. This person is the principal staff advisor to the head of the agency on general study matters, is the focal point for current information on the status of study efforts within the agency, and acts as a liaison between the agency, the ASPMO, and other SPCs. The SPC does not need to become involved in the substantive conduct of specific studies by the agency, although the SPC should become increasingly useful in an advisory capacity to action officers involved in the performance of studies.

Each Study Program Coordinator is given a login ID and a password that allows modification of the organization’s ASP database entries. This allows entering new study efforts, and updating existing efforts. SPCs have the option to delegate this responsibility to one or more persons within their organization. The ASPMO provides the login ID and password to the Study Program Coordinator for appropriate distribution.

4.2 Duties and Responsibilities

1. Study Program Coordinators are the liaison between the ASPMO, other SPCs, and their organization, and are the focal point for all study-related issues within the organization.
2. SPCs are responsible for assigning appropriate PUICs for their organization’s study efforts.
3. SPCs are responsible for ensuring that the ASP database entries for the organization are accurate and reflect current study status. This includes responding to any concerns the ASPMO or others have concerning these entries. The Web address for accessing the ASP database is: <http://www.paed.army.mil/paed/armystudyprogram/index.asp>.
4. SPCs must notify the ASPMO in the event there is a change in their status as the organization Study Program Coordinator.
5. The SPC is responsible for ensuring that an evaluation of all the study efforts performed by or for their organization is completed and forwarded to the ASPMO within 30 days of the completion date of the study effort. Study evaluations are required by AR 5-5, and may be submitted at any time. The required elements of the study evaluation are as follows:
 - Study Title.
 - PUIC.
 - Study POC. Phone # & e-mail address
 - Study Recommendation(s).
 - Study Impact.
 - Total Cost of Study.

6. The Annual Army Study Program Development Cycle – SPCs are responsible for coordinating development of the next fiscal year’s study program according to the process outlined in Figure 1. Both HQDA and MACOM organizations participate in developing their annual study program plans, which begins with the issuance of the Army Study Planning Guidance, and culminates with the SPCC meeting. These are described below. Apart from these events, the process and timelines for HQDA and MACOM organizations differ. Section 4.4 outlines HQDA SPC responsibilities, and section 4.5 outlines MACOM SPC responsibilities, as they relate to this process.

- **MARCH** – In March of every year, the Army Study Planning guidance memo is issued to HQDA Principal Officials & MACOM Commanders. SPCs are responsible for ensuring that this memo is read and understood by their commander, and other appropriate individual’s within their organization.
- **Mid-SEPTEMBER Study Program Coordination Committee (SPCC) Meeting** – Mandated by AR 5-5, the SPCC meeting is usually scheduled for mid-September. The purpose of this meeting is for the DUSA(OR) and the Army G-8 to review and approve the proposed Army Study Program Plan, which includes the HQDA, MACOMs, and Arroyo Center annual study program plans. All of the SPCC members prescribed by AR 5-5 are expected to attend. SPCC meets to review and approve the proposed Army Study Program Plan. The Study Program Coordinators are responsible for insuring that their Commander is kept apprised and is scheduled to attend. The Commander may appoint an alternate to attend in his/her place if scheduling conflicts occur. The SPC will coordinate their organization’s attendance with the ASPMO.

7. The Army Study Program Out-of-Cycle Analysis Requirements – This applies to all organizations and all SPCs.

a. Initial Review:

1) SPCs are responsible for reviewing out-of-cycle study proposals for their organization, in order to verify the appropriateness of study objectives, measures of effectiveness and performance, data, methodologies, and expected results.

2) SPCs provide oversight and quality management of their organization’s study efforts to ensure that duplication of previous studies within the organization is eliminated.

3) SPCs ensure that two database searches are performed for each proposed study effort. One is a review the Army Study Program database. The other is a DTIC literature search (see Chapter 5). Both searches are used to assist in determining if analysis by organizations outside of his/her organization would satisfy the analysis requirement, and to preclude duplication.

4) If the SPC is satisfied that the work has not been previously performed, he/she is to ensure that the new analysis is entered into the Army Study Program database, and that the necessary documentation is forwarded to the ASPMO for feasibility review; and if necessary, approval by the DUSA(OR).

b. After ASPMO Concurrence:

1) Upon completion of the required reviews by ASPMO, if there were no issues raised by the reviews, the SPC is responsible for notifying the study sponsor that the effort can go forward.

2) The SPC is then responsible for ensuring that the information in the Army Study Program database is kept current until the project is completed.

3) If an issue is raised as a result of the ASPMO or DUSA(OR) review, the SPC will be notified and will be required to have the study sponsor address concerns before the effort can be undertaken.

4) If CAA's feasibility review generates issues, the G-8 will provide a memo to the organization head identifying concerns. The organization head will be responsible for responding to the G-8 prior to the effort being undertaken (how the SPC functions in this scenario will be up to the organization head).

4.3 Project Unique Identification Code (PUIC)

The PUIC is now a ten-character, code used to track a project through its life cycle. The first five characters represent the symbol of the office directing or requesting the project. The sixth and seventh positions indicate the year the project entered the program, FY2004 = "04." The last 3 characters are numbers assigned by the sponsor.

Office Symbol – characters 1-5 [alpha/numeric only - cannot contain special characters or blanks, except a dash(-) or underscore(_)].

Example: G-8 QDR Office has 3 new project to begin FY2005. G-8's office symbol is "DAPR," then "Q" for QDR office. The Chief, QDR Office assigns priorities 1 through 3 to the projects. The following are the PUICs assigned: DAPRQ05001, DAPRQ05002, and DAPRQ05003.

4.4 HQDA Study Program Coordinators

The Annual Army Study Program Development Cycle - HQDA. HQDA SPCs are responsible for coordinating development of their organization's upcoming fiscal year study program plan. In addition, individuals appointed as Study Coordinators for HQDA activities have the responsibility of participating on the HQDA Study Program Working Group. Duties for this requirement are described below.

DUSA(OR) Funding. The DUSA(OR) reserves funding each fiscal year in order to fund high priority and unfunded studies for HQDA organizations. The purpose of these studies is to enhance Army senior leadership's understanding of complex issues, and improve the quality and timeliness of Army policy development and decision-making. It allows the use of organizations

with a high level of skill in applying the concepts and techniques of analysis and evaluation, outside of the Army, to identify and recommend solutions to complex Army problems. Therefore, in addition to coordinating the planned studies to be funded by the SPC's organization, HQDA SPCs coordinate submission of study proposals that may compete for the DUSA(OR)'s unprogrammed funds.

HQDA Study Program Coordination Committee (SPCC) Working Group. The purpose of HQDA SPCC Working Group is for the members to bring their diverse knowledge and experience to the meeting in order to evaluate the submitted proposals, and recommend to the DUSA(OR) which proposals should be funded.

APRIL – In April of every year the ASPMO issues a “*Call For Study Proposals*” memorandum to the HQDA Study Program Coordinators. This Study Call requests submission of study proposals that will compete for the DUSA(OR)'s unprogrammed funds for the upcoming FY.

a. HQDA SPCs coordinate and compile their organization's study proposals, and assign PUICs to each proposed study.

b. For studies that will compete for DUSA(OR) funding, the SPC coordinates and incorporates the Commander's priorities into the organization's submission.

c. SPCs ensure that two database searches are performed for each proposed study effort. One is a review the Army Study Program database. The other is a DTIC literature search (see Chapter 5). Both searches are used to assist in determining if analysis by organizations outside of his/her organization would satisfy the proposed analysis requirement, and to preclude duplication.

d. SPCs also ensure that the proposed studies are entered into the ASP database prior to submission to the ASPMO.

Mid-JULY – In Mid-July every year, the HQDA SPCC Working Group meets for 2 to 3 days to develop recommendations for the funding of the HQDA unfunded study requirements.

a. Preparation for this meeting really begins prior to the “Call for Studies,” when the ASPMO HQDA Study Coordinator will ask your assistance in determining the criteria that will be used to evaluate the proposals.

b. After the criteria have been determined, the ASPMO HQDA Study Coordinator will ask your assistance in determining the weights to apply to each of the criteria.

c. The HQDA SPCC Working Group Meeting provides the opportunity for study POCs to “market” their study proposal(s) to the evaluating body. It also gives the Working Group members the opportunity to obtain a more in-depth understanding about the proposed studies, and provides the ability to ask questions in order to evaluate the proposals more accurately. It is the HQDA SPC's job to insure that the person(s) briefing their organization's proposals:

- Are fully prepared, having forwarded electronic versions of their briefings to the ASPMO 2-days prior to the meeting;
- Understand the purpose of their presentation;
- Arrive on time, and;
- Present their briefing within the prescribed time limit.

d. During the study proposal briefings, the HQDA SPCC Working Group members evaluate each study proposal using the criteria they developed earlier in the year.

e. Following the study proposal briefings, the HQDA SPCC Working Group's evaluations are input to the Expert Choice software, which in turn, produces a list of the proposals in ranked order (highest to lowest). This list of proposals, along with their corresponding costs, are each subtracted from the amount of funding available from the DUSA(OR), to result in a list of proposals, displaying those above the funding line and those below the line. This list is discussed on the last day of the Working Group meeting in order to address concerns anyone may have, and to come to a consensus on what to present to the DUSA(OR) as the HQDA SPCC Working Groups recommendations for funding.

f. The HQDA Study Coordinator briefs the DUSA(OR) on the Working Group's recommendations.

g. Assuming the DUSA(OR) approves the Working Groups recommendations, HQDA Study Program Coordinators are responsible for insuring that the approved list of proposals is passed along to their Commander and any other appropriate persons in their organization. Commander concurrence or non-concurrence of these recommendations is requested by a specified date, to be forwarded to the ASPMO.

OCTOBER-SEPTEMBER – The approved Annual Study Program is executed.

- For those proposals approved for performance using the funds managed by the ASPMO for the DUSA(OR), completed procurement packages are due to the ASPMO on or about 15 November of each FY (see Chapter 7, Section 7.11). Chapter 7 contains detailed instructions for the preparation of procurement packages.

FEBRUARY – In February of every year there is a formal “Call for Evaluation” of prior year completed study efforts. See section 4.2 above concerning the requirement for study evaluations.

4.5 MACOM Study Program Coordinators

APRIL – In April of every year the ASPMO issues a “Call For Studies” memorandum to MACOM Study Program Coordinators.

- SPCs ensure that two database searches are performed for each proposed study effort. One is a review the Army Study Program database. The other is a DTIC literature search (see Chapter 5). Both searches are used to assist in determining if analysis by

organizations outside of his/her organization would satisfy the proposed analysis requirement, and to preclude duplication.

Mid-JULY (MACOMs) – Draft MACOM Study Plans are due to the ASPMO for review.

AUGUST – MACOM proposed program plans are due to the ASPMO.

- The SPC for the MACOM is to ensure that all studies/projects planned for the upcoming FY are entered into the ASP database via the ASP Website.
- In addition, the SPC is responsible to insure that prior FY study entries are updated to reflect their current status, and that evaluations are submitted for completed studies.
- See section 4.2, paragraph 5 above concerning the requirement for study evaluations.

5 DEFENSE TECHNICAL INFORMATION CENTER (DTIC®)

5.1 Literature Search Required

Army Regulation (AR) 5-5, paragraph 5-5c(3) requires a DTIC search be performed to ensure that a valid requirement for each effort exists and that there is no unnecessary duplication. DTIC searches can be performed online (see below). A DTIC search must be performed prior to submission of a study proposal for consideration.

The Defense Technical Information Center (DTIC®) is the central facility for the collection and dissemination of scientific and technical information for the Department of Defense (DoD).

DTIC Web address: <http://www.dtic.mil/dtic/>.

5.2 DTIC Registration

To utilize DTIC's full products and services you must be a registered user. If you are ***not yet registered***, you can view citations to unclassified/unlimited technical reports through DTIC's Public STINET service (<http://stinet.dtic.mil/>).

All DoD or Military Service organization personnel can register for unclassified/limited information via telephone or e-mail. However, if you need access to classified information, you must complete the DD Form 1540 (Registration for Scientific and Technical Information Services) in its entirety and obtain the necessary signatures.

Register By Phone:

Commercial: (703) 767-8273 / DSN 427-8273.

Toll Free: 1-800-CAL-DTIC (225-3842), (Registration Product Information--menu selection 2).

Register By E-mail: reghelp@dtic.mil

Register On-line: http://www.dtic.mil/dtic/registration/ldap_reg.html.

DD Form 1540 (to obtain access to restricted information):

<http://www.dtic.mil/dtic/forms/DD1540.pdf>.

5.3 DTIC Resources

DTIC® is the central facility for the collection and dissemination of scientific and technical information for the Department of Defense (DoD). Much of this information is made available by DTIC in the form of technical reports about completed research, and research summaries of ongoing research. As an element of the Defense Information Systems Agency (DISA), DTIC supports the warfighter and serves as a vital link in the transfer of information among DoD personnel, DoD contractors and potential contractors, and other U.S. Government agency

personnel and their contractors. DTIC's use of leading edge technology allows customized information to be gathered at rapid speeds and deployed to its customers using state-of-the-art communications.

DTIC provides a number of products and services. Information about these services can be found at the following Web address: <http://www.dtic.mil/dtic/prodsrv/>.

- In order to perform a search of all databases you must be a registered user.
- To find out if your Agency has an account, call 703-767-8274.

5.4 DTIC Current Awareness Products

DTIC's current awareness products enable you to keep current with the most recent research in your field. They can give you automatic access to DoD research and development information in your areas of interest. For more information about these products go to the following Web address: http://www.dtic.mil/dtic/prodsrv/current_prods.html.

5.5 DTIC Reporting

Research Summaries (RS). All ongoing study efforts should be reported to the DTIC Research Summaries (RS) database.

The RS database is the second-largest database provided by DTIC. It was established to provide a rapid exchange of technical and management data describing ongoing Department of Defense (DoD) research and technology efforts at the Work Unit level and is an integral part of the management and conduct of DoD Research Development Test & Evaluation (RDT&E) programs.

It provides summary descriptions of the technical content, performers, monitors, and funding sources of DoD research or technology efforts. Research Summaries increase the effectiveness of the DoD RDT&E program by providing descriptions of Research & Development (R&D) efforts to DoD and other Government scientists, engineers, managers, and their contractors in industry and academia.

It identifies R&D efforts in a full range of scientific and technology disciplines, allowing managers to coordinate programs, eliminate overlap and duplication of effort; resulting in cost-effective, complete research and a thorough end product. It also provides defense contractors access to data on planned, ongoing and completed work so their efforts can focus on issues of direct benefit to DoD.

Completed Study Reports.

a. Army Regulation (AR) 5-5, paragraph 5-9(c) requires the Sponsor's Study Director (SSD) to submit copies of final reports to DTIC, the Pentagon Library.

b. *All studies that are performed through this program will result in a final report or reports*, which will be forwarded, by the study performer, to The Defense Technical Information Center (DTIC).

(1) Standard Form 298 (SF 298). All reports include a Standard Form 298, Report Documentation Page as the first page under the cover page.

(2) Distribution Statements. ALL documents submitted to DTIC must have an appropriate Distribution Statement and reason in accordance with [DoD Directive 5230.24](#) . The Distribution Statement must be clearly marked on the SF-298. The Sponsor's Study Director determines the appropriate distribution instructions.

c. See the DTIC Website (<http://www.dtic.mil/dtic/submitting/>) for information on how to submit reports.

6 FEDERALLY FUNDED RESEARCH & DEVELOPMENT CENTERS (FFRDCS)

6.1 Federally Funded Analysis Resources

Federally Funded Research and Development Centers (FFRDCs) have evolved from research facilities established to meet the special needs of World War II. Until 1967 the centers were called “Federal Contract Research Centers.” In that year the Federal Council for Science and Technology (FCST) set criteria for the newly-named “Federally Funded Research and Development Centers.”

A justification is required before a task can be assigned to an FFRDC. This justification must identify how the work falls within the Core capability of the specific FFRDC. There is no standard form for this justification. It is the responsibility of the sponsor to contact the FFRDC COR and determine the information required by the FFRDC to comply with the requirements of the DoD FFRDC Management Plan. The justification will be part of the procurement package.

FFRDCs sponsored by DoD are listed below. Other FFRDCs can be found at this Web address: <http://www.nsf.gov/sbe/srs/nsf02317/start.htm>.

6.2 DoD sponsored FFRDCs

Office of the Secretary of Defense -

Administered by universities and colleges:

- **Software Engineering Institute:**
([Carnegie Mellon University](http://www.cmu.edu)), Pittsburgh, PA

Administered by other nonprofit institutions:

- **Institute for Defense Analyses Studies and Analyses Federally Funded Research and Development Center**
(Institute for Defense Analyses), Alexandria, VA
- **National Defense Research Institute**
(RAND Corp.), Santa Monica, CA
- **C3I Federally Funded Research & Development Center**
([MITRE Corp.](http://www.mitre.org)), Bedford, MA and McLean, VA

National Security Agency -

Administered by other nonprofit institutions:

- [**Institute for Defense Analyses Communications and Computing Federally Funded Research and Development Center**](#)
(Institute for Defense Analyses), Alexandria, VA

Department of the Navy -

Administered by other nonprofit institutions:

- [**Center for Naval Analyses**](#)
(The CNA Corporation), Alexandria, VA

Department of the Air Force -

Administered by universities and colleges:

- [**Lincoln Laboratory**](#)
(Massachusetts Institute of Technology), Lexington, MA

Administered by other nonprofit institutions:

- [**Aerospace Federally Funded Research and Development Center**](#)
([The Aerospace Corporation](#)), El Segundo, CA
- [**Project Air Force**](#)
(RAND Corp.), Santa Monica, CA

Department of the Army -

Administered by other nonprofit institutions:

- [**Arroyo Center**](#)
(RAND Corp.), Santa Monica, CA

7 THE PROCUREMENT PACKAGE

7.1 Definition of Terms

Bilateral. A bilateral modification (supplemental agreement) is a contract modification that is signed by the contractor and the contracting officer.

Unilateral. A unilateral modification is a contract modification that is signed only by the contracting officer.

Task Order: A written order to a services contract under an indefinite-delivery type contract, which then becomes the basic obligating document for the transaction. Also referred to as a Delivery Order when supplies are involved.

Option: A unilateral right in a contract by which, for a specified time, the Government may choose to purchase added quantities of the supplies or services called for in the contract, or may choose to extend the period of performance of the contract.

Contract Modification (MOD): Any written change in the terms of a contract. A “supplemental agreement” is a contract modification accomplished by the mutual actions of the parties.

7.2 Performance Methods

Competitive. Full and open competition occurs when there are no restrictions placed on who may make an offer on a solicitation. The solicitation notice is placed on the Web, for viewing by the public at <http://www.eps.gov/>.

Single-Source. Solicitations are restricted to only one contractor. Below are the circumstances in which other-than-full-and-open-competition may be utilized:

- Only one responsible source available.
- Unusual or compelling urgency.
- Industrial mobilization.
- International agreement.
- Authorized/required by statute.
- National security.
- Public interest.

Defense Contracting Command – Washington Modification (DCC-W MOD). Either a unilateral or a bilateral change in the terms of a Defense Contracting Command – Washington (DCC-W) issued contract.

Not DCC-W Modification (DCC-W MOD). Either a unilateral or a bilateral change in the terms of a contract *not* issued by DCC-W.

DCC-W Task Order (DCC-W T.O.). An order for services placed against an existing DCC-W issued contract.

Not DCC-W Task Order (Not DCC-W T.O.). An order for services placed against an existing contract *not* issued by DCC-W.

DCC-W Option. Unilateral contract actions identified on the contract, which the government may choose to execute on a DCC-W issued contract.

Not DCC-W Option. Unilateral contract actions identified on the contract, which the government may choose to execute on a contract *not* issued by DCC-W.

Reimbursable *. This method occurs when the performer chosen is another DOD organization that provides analysis and technical products on a reimbursable basis. In these cases the documents required are somewhat more flexible to meet the standards of the performing organizations.

a. Still needed is a document signed by the sponsoring organization's GO or SES, giving authorization for the work to be done. This can be an MDD or a document similar to the MDD. Also needed is a document that describes the work to be performed. This can be an SOW, a Study Plan, or some other similar document.

b. The last document required contains the funding information which will be used to prepare the Military Interdepartmental Purchase Request (MIPR). This information is required in order to transfer the funds. *Note:* For this performance method the required information does not include "Contract Number and Name of Contractor," because they do not apply.

7.3 Documentation Requirements

STATEMENT OF WORK, INDEPENDENT COST ESTIMATE AND MANAGEMENT DECISION DOCUMENT. Development of the Management Decision Document (MDD), the Statement of Work (SOW), and Independent Cost Estimate (ICE) are solely the responsibility of the government and will be prepared by the individual who will become the Technical Representative (TR) for the project. The MDD format is at [Appendix A](#), [Appendix B](#) contains a sample SOW, and [Appendix C](#) is an example of an ICE. The SOW must be concise, two to three pages, and will specify the objectives and deliverables of a project. The SOW will contain a statement of actions or decision(s) to be affected by the project and must identify how the results of the project will be used. Where necessary, schedules and suspenses will be indicated. The SOW will identify the TR who will be responsible for assuring proper completion of the project. The TR must be technically competent and have authority to insure application of the results of the project. The ICE is necessary for commitment of funds for the project. The MDD provides the HQDA Study Coordinator, or the COR and the Contracting Officer (KO) with the management approval required by AR 5-14. The SOW, ICE and MDD will be sent to the HQDA Study Coordinator or the COR for review prior to it being forwarded to the KO. Revisions deemed necessary by the HQDA Study Coordinator, and/or the COR will be made by the TR.

REQUIREMENTS. Below is a list of the documents that may be necessary to include in the package to be submitted. The type of contract action will determine which of these documents are to be included.

For example, if you are planning to use the DUSA(OR) sponsored delivery order contract, you would not need a Commerce Business Daily Synopsis, or a DD Form 254, or a Justification & Approval. These items would be required if your study proposal was for a new sole-source, or a new competitive contract, not for an existing delivery order contract.

- Management Decision Document (MDD).
- Statement of Work (SOW).
- Independent Cost Estimate (ICE).
- Commerce Business Daily Synopsis (CBD).
- Justification & Approval (if sole source) (J&A).
- Contract Offload Approval (OFFLD).
- DD Form 254 (New contracts or contract modifications) (DD254).

Performance Method	MDD	SOW	IGE	CBD	J&A	OFFLD	DD 254	Funding Info
Contract								
Competitive	◆	◆	◆	◆			◆	◆
Single Source	◆	◆	◆	◆	◆		◆	◆
DCC-W MOD	◆	◆	◆	◆			◆	◆
Not DCC-W MOD	◆	◆	◆	◆		◆	◆	◆
DCC-W T.O.	◆	◆	◆					◆
Not DCC-W T.O.	◆	◆	◆			◆		◆
DCC-W Option	◆							◆
Not DCC-W Option	◆	◆	◆	◆		◆	◆	◆
In-House Organization								
Reimbursable *	◆	◆						◆

Figure 3. Procurement Package Document Requirements

Use the table above to determine what document(s) are necessary for a specific package to be complete.

Federally Funded Research and Development Centers (FFRDC): In cases where the sponsor wishes to use a FFRDC, there is the added requirement to provide some justification for the use

of the FFRDC. Contact through the COR for the desired FFRDC contract to determine what information and format is necessary to prepare the justification document (see [Chapter 6](#)).

7.4 Management Decision Document (MDD)

The Management Decision Document is the cover for the package, which is sent to the ASPMO/COR/KO. The requirement for this document is found in AR 5-14. A GO/SES signature is required for a cost of \$100,000 or more. See the format provided at [Appendix A](#).

The MDD is printed on organization letterhead as a memorandum. The “For” line will state: Deputy Under Secretary of Army (Operations Research) ATTN: Army Study Program Management Office (Ms. Terese Sweet). Following is a list of the other required information.

Subject: (Title of Contract Requirement),

Purpose: Obtain funds for SPCC approved requirement.

Discussion.

- a. Identify requirement. Indicate SOW attached.
- b. Objectives.
- c. Explain how service supports agency/command mission.
- d. Literature search/certification that the service does not unnecessarily duplicate prior or ongoing in-house or contract efforts.
- e. Certification that service is not an inherently governmental function.
- f. Type of Procurement and justification for contract selection.
- g. Control Procedures.
- h. Anticipated total cost.
- i. Statement that funds are available.
- j. Federal Supply Class Code

Coordination.

Recommendation: Approve.

7.5 Statement of Work (SOW)

The SOW is where the overall requirements of the work to be performed are identified, as well as the expected results of the effort. It is very important that this document clearly state what the requirements are, since it will be used as the baseline for the contractor’s proposal evaluation, and as the standard by which the contractor’s performance is measured.

The SOW should be used to identify what needs to be accomplished but **not** the steps that the contractor should use to accomplish the task.

The format for an SOW is at [Appendix B](#). A SOW will indicate the following:

- Objective
- Background of Requirement
- Tasks - describe what is to be done
- Deliverables-products, quantity, schedule & place of delivery

- Control Procedures-reviews, reporting requirements
- Any Government Furnished Support

7.6 Independent Cost Estimate (ICE)

The Independent Cost Estimate (ICE) must be prepared for every new acquisition that exceeds the simplified acquisition threshold of \$100,000. A sample format for the Simple ICE is at [Appendix C](#).

This document is used by the Contracting Officer to assist in determining whether the contractor's cost proposal is fair and reasonable.

- **Full ICE:** To create a new contract, or modify an existing contract, a full ICE is necessary. (*See the current DCC-W Acquisition Guide at the DCC-W Web Site: <http://dccw.hqda.pentagon.mil/>. The Acquisition Guide can be found under "Services."*)
- **Simple Cost Estimate:** A "Simple Cost Estimate" is appropriate for a Task Order.

WARNING: Do not use contractor support to develop this estimate. If you discuss what you want to accomplish with a contractor, speak in terms of man-years of effort, not dollars. In addition, never indicate to the contractor how much money you have to spend. Generally, talking dollars to the contractor could put your effort in jeopardy.

7.7 Commerce Business Daily (CBD)

The CBD should be a brief description of the work to be performed, and is required for new contracts and for contract modifications; unless the contract modification is for less than the small purchase threshold (*presently \$100,000*).

There is no requirement for a CBD submission on tasks being added to existing task order contracts.

The Internet address for additional information on the CBD Synopses is: <http://cbdnet.gpo.gov>. This Web address contains a daily list of U. S. Government procurement invitations, contract awards, sub-contracting leads, and sale of surplus property and foreign business opportunities.

The CBD is published 15 days prior to issuing solicitations. Agencies must allow 30 days for receipt of bids or proposals from date of issuance of solicitation.

7.8 Justification & Approval for Other than Full & Open Competition

In the event that you have opted for a single-source contract, you are required to provide a written justification. The format for the justification, as stated in the Federal Acquisition Regulation (FAR), is at [Appendix D](#).

7.9 Economy Act/Offloading Actions

CONTRACT OFFLOADING. Contract offloading requires agreement between the procurement office of the sponsoring organization (desiring the analysis support) and the Defense Contracting Command - Washington (DCC-W), that use of the contract is in accordance with sound procurement practice and policy (see [Appendix E](#)). It is the responsibility of the sponsoring organization to arrange for the agreement.

Work to be performed on a GSA contract requires an Economy Act Justification. If the contract number does not begin with “DASW01” then the odds are extremely good that the contract is not a DCC-W contract and offload/economy act documentation is required.

- Economy Act action occurs when any Defense activity decides to have contract support provided by a contracting office outside of DoD.
- Offload occurs when a requesting agency wants to have an alternative DoD contracting activity contract for the work needed.

There are four (4) documents that are necessary for an offload action to be accomplished. Two are part of the package to be submitted to the ASPMO; the other two are prepared by the ASPMO.

- Submitted by Requesting Organization to the ASPMO:
 1. The “Justification for Offload” is prepared by requesting organization.
 2. The response from Contracting Officer indicating that requested support is appropriate for the specified contract.
- Prepared by ASPMO:
 3. Memorandum from DUSA(OR) to DCC-W informing DCC-W of the offload requirement.
- Submitted by DCC-W:
 4. Response from DCC-W either concurring or non-concurring with offload requirement.

Note: Any work done by in-house resources at DoD facilities by Government employees is not considered offloading and is not subject to the above requirements.

7.10 Funding Information Requirements

Information required in order to transfer funds include the following:

Project/Study Title.

Resource Estimate.

Contract Number and Name of Contractor.

Project Description. *Very brief.*

HQDA Sponsoring Organization: Office and Office Symbol.

HQDA Technical Representative.

- Primary: Name, Office Symbol, Phone, Fax, DSN.
- Alternate: Name, Office Symbol, Phone, Fax, DSN.

Name of Organization Receiving Funds.

Technical Point of Contact (POC) at organization receiving funds.

Resource POC at organization receiving funds. Name, Office Symbol, Phone, Fax, DSN, and address.

Recommended Element of Resource Code (see [Appendix F](#)):

Depending upon the organization from which the services are being obtained, either a Military Interdepartmental Purchase Request (MIPR), or an Administrative Service Request (DD Form 1262), will be required. Regardless, the ASPMO prepares these documents from the information provided.

- **Military Interdepartmental Purchase Request (MIPR).** A MIPR (DD Form 448) is an order issued to procure services, supplies, or equipment between commands within the U.S. Army and with other services. A MIPR is used to send funds to other DoD organizations to purchase support.
- **Administrative Service Request (DD Form 1262).** The ASPMO uses the DD Form 1262 when funding projects on Army contracts that are administered by DCC-W.

7.11 Completed Procurement Packages

In order for a package to be considered “complete” and accepted, all the applicable materials discussed herein must be part of the package. If anything is left out of the package, it will not be considered as ready for funding, and the entire package will be returned to the Study Program Coordinator. Packages that are not completed by the suspense date, will lose ranking which was awarded by the DUSA(OR) and Army G-8; to become the last project in line for funding.

8 POST-CONTRACT ACTIONS

8.1 After Funding of Project

Once the project is funded, the sponsor is required to perform the following actions:

- Update the Army Study Program Database to reflect that the action is ongoing, and provide additional data as required.
- These actions are identified in AR 5-5:
 - ✓ **Monitoring** begins when the study organization actually initiates the work, and ends when the sponsor approves the final study report or terminates the effort. The COR will receive copies of all monthly and final reports.
 - ✓ **Evaluation** follows completion of a study, to determine how well the desired objectives were met.
 - ✓ **Implementation of Results**. Occurs in most cases after the study ends. However, selected emerging results may be implemented immediately while the study is in process.
 - ✓ **Document and Report Results**. Study reports are to be sent to DTIC. Evaluations of the study (not of the contractor) are to be prepared and submitted to ASPMO.

8.2 Submitting Reports to DTIC

All studies subject to the requirements of AR 5-5 will have a report prepared and submitted to the Defense Technical Information Center (DTIC), in accordance with DoD Directive 3200.12, *DoD, Scientific and Technical Information Program*. Refer to the DTIC Website for submitting instructions: <http://www.dtic.mil/dtic/submitting/>.

8.3 Army Study Program Repository

The database maintained by the ASPMO requires a “*minimum*” of two sponsor reviews per FY.

The first is in the spring when the call for studies is made. At this time proposals for the upcoming FY are input to the Website. In addition, studies ongoing, completed, or cancelled from previous FYs should be updated to show the current status.

The second review is part of the mid-year update when the ASPMO puts out a call for the “Evaluation” of the previous FY’s study entries. Changes to the projects to include: completion dates, funding information, etc.

The ASPMO Web address is: <http://www.paed.army.mil/paed/armystudyprogram/index.asp>.

APPENDIX A MANAGEMENT DECISION DOCUMENT (MDD) FORMAT

(Organization Letterhead)

MEMORANDUM FOR The Deputy Undersecretary for Operations Research (DUSA(OR)),
ATTN: Army Study Program Management Office (Ms. Terese A. Sweet)

SUBJECT: (Title of Contract Service)

1. Purpose. To obtain approval of the requirement for a proposed contract for subject service.

2. Discussion. Provide in this paragraph, or attach as enclosures to the document, the following information:

a. Description of problem or reason for service and indication that the Statement of Work (SOW) is attached as Enclosure 1.

b. Objectives of the effort. Include summaries of the proposed tasks and anticipated products. Indicate that detailed descriptions of tasks are in the SOW.

c. Explanation of how the service supports the mission of the agency/command.

d. Literature search and certification that the service does not unnecessarily duplicate prior or ongoing in-house or contract efforts. (Appropriate here is a description of the actions taken to satisfy AR 5-14, paragraph 4-3a.)

e. Certification that the service is not an inherently governmental function, cannot be performed in-house, or that contract performance is more cost effective. (Appropriate here is a description of the actions taken to satisfy AR 5-14, paragraph 4-3b.)

f. Type of procurement and justification for selection of a particular contractor for this requirement.

g. Description of control procedures, including--

(1) Description of quantitative of qualitative measures that will be used to evaluate the--

(a) Progress of the contractor.

(b) Quality and effectiveness of the final results and products.

(2) Name, organization, and telephone number of agency/command point of contact (POC).

(3) Whether a COR will be nominated; if so, and if the proposed COR is different from the POC then the COR's name, organization, and telephone number.

(4) Proposed organizational makeup of progress review group.

(5) Milestone schedule, including schedules for progress review meetings.

h. Anticipated total cost, with detailed cost estimate if available.

i. Statement that funds are available, with identification of funding appropriation and recommended EOR.

j. Recommendation of the appropriate Federal Supply Class Code.

3. Coordination. The requirement for the proposed contract has been coordinated with: (List organizations and offices).

4. Recommendation. Approve the requirement for a proposed contract for subject service.

GO or SES signature

APPENDIX B STATEMENT OF WORK (SOW) SAMPLE FORMAT

STATEMENT OF WORK (TITLE)

1. **CONTRACT NUMBER:**
2. **PROJECT BACKGROUND:** A short statement of the background leading to the need for the proposed study or analysis.
3. **PROJECT OBJECTIVE:** A succinct statement of the objective(s) to be accomplished.
4. **SCOPE OF WORK:** A specific statement of the types of tasks or steps that the government believes will be needed to meet the objective(s) of the project. Any limitations or constraints on the project should be stated here.
5. **APPLICATION OF RESULTS:** A succinct statement of the actions, policies, decisions, or events expected to be affected by the analysis carried out under this project.
6. **ESTIMATED LEVEL OF EFFORT:** Estimated effort in professional staff years (PSY), not estimated cost. Suggest a range of +/-20%; e.g., 1 to 1.5 PSY, for a project you estimate at 1.25 PSY.
7. **PERIOD OF PERFORMANCE:** The period of performance shall be from the date of award through XXXXX number of months required.
8. **GOVERNMENT FURNISHED DATA OR EQUIPMENT:** If any.
9. **IN-PROCESS REVIEW (IPR):** Schedule of required milestones, if needed.
10. **DELIVERABLES:**
 - a. Interim deliverables include monthly progress reports, if required; and any non-technical progress reports which may be required.
 - c. Final products may include software or other materials expected to result from the study.
 - b. The contractor will ensure that, *all studies resulting in a final report or reports*, are forwarded to The Defense Technical Information Center (DTIC). This is a requirement of AR 5-5 (see [Chapter 5](#)).

(1) Standard Form 298 (SF 298). Final reports will include a Standard Form 298, Report Documentation Page as the first page under the cover page.

(2) Distribution Statement. ALL documents submitted to DTIC must have an appropriate Distribution Statement and reason in accordance with [DoD Directive 5230.24](#). The Distribution Statement must be clearly marked on the SF-298. The Sponsor's Study Director determines the appropriate distribution instructions.

11. AGENCY SUPPORT:

a. The Contracting Officer's Representative (COR) for the DUSA(OR) sponsored contract entitled "Analytic Support to the Army Study Program," is Mr. Robert C. Claude, (703) 607-3376, Army Study Program Management Office, Crystal. Square 2, Suite 201A, 1725 Jefferson Davis Highway, Arlington, VA 22202. Facsimile: (703) 607-3381, DSN: 327.

b. The Technical representative for this effort will be (name, office address, telephone number, including DSN, Commercial and facsimile number.

APPENDIX C INDEPENDENT COST ESTIMATE (ICE) SAMPLE FORMAT

INDEPENDENT COST ESTIMATE

1. Labor (rates incorporate labor overhead, fringe benefits, G&A, and fee)	
a. Project Manager (40 hours @ \$117.10)	\$4,684.00
b. Senior Policy Analyst(s) (250 hours @ \$82.07)	20,518.00
c. Senior Operations Research Analyst(s) (40 hours @ \$81.47)	3,258.00
d. Policy Analyst(s) (500 hours @ \$47.56)	23,780.00
e. Operations Research Analyst(s) (500 hours @ \$49.88)	24,940.00
f. Analytical support (250 hours @ \$30.93)	<u>7,733.00</u>
TOTAL LABOR	\$59,973.00
2. Travel:	
a. Transportation	\$1,000
b. Per diem	<u>500</u>
TOTAL TRAVEL	\$1,500
3. Other Direct Costs:	
(Include estimates of reproduction, library services, and other miscellaneous items)	
4. G&A: (3% of 2 and 3 above)	\$75.00
5. Fee: (8% of 2 and 3 above)	200
6. Total Estimated Cost and Fee:	\$61,748.00

FOR OFFICIAL USE ONLY
PROCUREMENT SENSITIVE SOURCE SELECTION INFORMATION

Note: Labor hours are provided for illustrative purposes. Actual hours (by labor class), travel, per diem, and other direct costs should be consistent with Statement of Work.

APPENDIX D JUSTIFICATION FOR OTHER THAN FULL & OPEN COMPETITION

Federal Acquisition Regulation (FAR)

6.303-2 Content.

(a) Each justification shall contain sufficient facts and rationale to justify the use of the specific authority cited. As a minimum, each justification shall include the following information:

(1) Identification of the agency and the contracting activity, and specific identification of the document as a "Justification for other than full and open competition."

(2) Nature and/or description of the action being approved.

(3) A description of the supplies or services required to meet the agency's needs (including the estimated value).

(4) An identification of the statutory authority permitting other than full and open competition.

(5) A demonstration that the proposed contractor's unique qualifications or the nature of the acquisition requires use of the authority cited.

(6) A description of efforts made to ensure that offers are solicited from as many potential sources as is practicable, including whether a notice was or will be publicized as required by Subpart 5.2 and, if not, which exception under 5.202 applies.

(7) A determination by the contracting officer that the anticipated cost to the Government will be fair and reasonable.

(8) A description of the market research conducted (see Part 10) and the results or a statement of the reason market research was not conducted.

(9) Any other facts supporting the use of other than full and open competition, such as:

(i) Explanation of why technical data packages, specifications, engineering descriptions, statements of work, or purchase descriptions suitable for full and open competition have not been developed or are not available.

(ii) When 6.302-1 is cited for follow-on acquisitions as described in 6.302-1(a)(2)(ii), an estimate of the cost to the Government that would be duplicated and how the estimate was derived.

(iii) When 6.302-2 is cited, data, estimated cost, or other rationale as to the extent and nature of the harm to the Government.

(10) A listing of the sources, if any, that expressed, in writing, an interest in the acquisition.

(11) A statement of the actions, if any, the agency may take to remove or overcome any barriers to competition before any subsequent acquisition for the supplies or services required.

(12) Contracting officer certification that the justification is accurate and complete to the best of the contracting officer's knowledge and belief.

(b) Each justification shall include evidence that any supporting data that is the responsibility of technical or requirements personnel (*e.g.*, verifying the Government's minimum needs or schedule requirements or other rationale for other than full and open competition) and which form a basis for the justification have been certified as complete and accurate by the technical or requirements personnel.

APPENDIX E CONTRACT OFFLOADING GUIDANCE

DEPARTMENT OF THE ARMY
OFFICE OF THE ASSISTANT SECRETARY
RESEARCH DEVELOPMENT AND ACQUISITION
WASHINGTON, DC 20310-0103

SARD-PP

18 March 1996

MEMORANDUM FOR ACQUISITION COMMUNITY

SUBJECT: Contract Offloading Clarification

Some activities are interpreting Army contract "offloading" policy too narrowly and have erected bureaucratic impediments to the timely and efficient acquisition by contract of supplies and services needed to satisfy Army requirements. Therefore, a restatement of the Army policy on contract offloading is necessary.

This memorandum restates Army offloading policies and supersedes all previous guidance on the subject. This memorandum does not affect policies pertaining to transactions which must be accomplished pursuant to the Economy Act. The current policy regarding Economy Act transactions outside the DoD remains DoD Instruction 4000.19, Federal Acquisition Regulation subpart 17-5, DoD FAR Supplement 217.5, and Acquisition Letter 94-5, dated August 4, 1994, and its enclosures. Economy Act D&Fs need not be prepared for transactions within the Army or the rest of the DoD.

The Army offloading policy is that Army requiring activities shall obtain their acquisition support, including contracting support, from the Army or other DoD organization best equipped to satisfy a requirement in terms of technical capability, quality, cost (including administrative support costs) and timeliness.

HCA's should have offloading procedures that promote advance planning; effective communication between customers and their supporting contracting office(s), including tracking of transactions; and integrated product and process management teams working on acquisition excellence solutions.

Users/requiring activities should give their assigned supporting contracting office the opportunity to execute and manage significant procurement actions before they are offloaded to other Army activities. This opportunity does not constitute a right of first refusal. If certain categories of requirements will routinely be sent to other contracting offices they should be identified in workload planning and program execution oversight meetings.

All addressees should ensure that subordinate organizations, supporting procurement legal counsel and resource managers receive this memorandum.

(SIGNED)

Kenneth J. Oscar

Deputy Assistant Secretary of the Army

(Procurement)

APPENDIX F ELEMENT OF RESOURCE CODES

STUDIES, ANALYSES, AND EVALUATIONS

These are services that provide organized analytic assessments to understand or evaluate complex issues to improve policy development, decision-making, management, or administration that result in documents containing data or leading to conclusions or recommendations. Includes studies in support of R&D activities. These may include databases, models, methodologies, and related software created in support of a study, analysis, or evaluation.

EOR EOR TITLE/NARRATIVE

2513 STUDIES, ANALYSES, AND EVALUATIONS -- FFRDC

Contractual studies, analyses and evaluations provided by FFRDCs. Includes the RAND Arroyo Center, Institute for Defense Analysis, Aerospace Corporation, Mitre C31 Division, MIT Lincoln Laboratory, Software Engineering Institute, Institute for Advanced Technology, and all other FFRDCs. This EOR will be used for both direct and reimbursable funded transactions.

2514 STUDIES, ANALYSES, AND EVALUATIONS -- OTHER THAN FFRDC

Contractual studies, analyses and evaluations provided by other than FFRDCs. Includes management or feasibility studies, technology forecasts, requirement definition and consulting services, which will not produce operating systems software.

HQDA Only –

Occasionally, a HQDA approved study will fall under the following EOR code:

2512 MANAGEMENT AND PROFESSIONAL SUPPORT SERVICES

Contractual services that provide assistance, advice, or training for the efficient and effective management and operation of organizations, activities-including management and support services for R&D activities or systems. These services are normally closely related to the basic responsibilities and mission of the agency contracting for the services. Includes efforts that support or contribute to improved organization of program management, logistics management, project monitoring and reporting, data collection, budgeting, accounting, performance auditing, and administrative/technical support for conferences and training programs.